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PATENT

Docket No. M 6820 HST/NI PCT/US

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

RE: Applicant: Nakada

Serial No. 09/807,658

Examiner: Unknown

PCT/JP99/05652

Art Unit: Unknown

Title: HYDROPHILIZING AGENT FOR METALLIC MATERIAL,
HYDROPHILIZING FLUID, METHOD OF HYDROPHILIZING, METALLIC MATERIAL,
AND HEAT EXCHANGER

**TRANSMITTAL OF DECLARATION AND TRANSLATION
UNDER 37 CFR SECTION 1.494/5(c)**

Assistant Commissioner for Patents
Box PCT
Washington, D.C. 20231

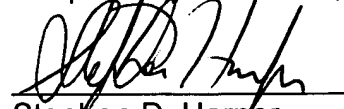
Attn: DO/EO/US

Sir:

No original declaration or translation of the application into English were filed earlier herein. Accordingly, enclosed are the original declaration and translation for this application.

Please charge our Deposit Account No. 01-1250 in the amount of \$260.00 as prescribed by 37 CFR 1.492(e) and 37 CFR 1.492 (f) for the surcharge and processing fees for filing a declaration and translation on a date later than 20/30 months after the priority date of the application. Order No. 01-0490. Authorization is also granted to charge any deficiency to Deposit Account 01-1250.

Respectfully submitted,



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Attorney for Applicants
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07/19/2001 SHAJARRO 00000047 011250 09807658

01 FC:154 130.00 CH
02 FC:156 130.00 CH

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UNITED STATES PATENT AND TRADEMARK OFFICE

Commissioner for Patents, Box PCT
United States Patent and Trademark Office
Washington, D.C. 20231
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|--------------------------|-----------------------|-------------------------------|
| U.S. APPLICATION NO. | FIRST NAMED APPLICANT | ATTY. DOCKET NO. |
| 09/807658 | NAKADA | M 6820 PCT/U |
| RECEIVED HENKEL LAW DEPT | | INTERNATIONAL APPLICATION NO. |
| ACTION INFO | | PCT/JP99/05652 |
| REC'D JUL 30 2001 | | I.A. FILING DATE |
| DUE | | PRIORITY DATE |
| FILE | | 14 OCT 99 |
| | | 15 OCT 98 |
| | | DATE MAILED: 27 JUL 2001 |

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NOTIFICATION OF A DEFECTIVE RESPONSE

- ☐ The request for an extension of time (37 CFR 1.136(a)) filed _____ is defective because the required fee is missing/insufficient. Extension of time fees are listed at 37 CFR 1.17(a)(1)-(a)(5).
- ☐ Applicant's response filed _____ was received in the Office after the expiration of the period for response set in the Office notification mailed _____. This application will become abandoned unless applicant obtains an extension of time to reply to the last Office notification under 37 CFR 1.136(a).
- ☒ Applicant's response filed 16 JUL 01 is hereby acknowledged. The following requirements set forth in the NOTIFICATION OF MISSING REQUIREMENTS (Form PCT/DO/EO/905) mailed 16 MAY 01 have not been completed.
 - ☒ Translation of the international application into English.
 - ☒ which is defective for the reasons indicated on the attached Notice of Defective Translation.
 - ☒ Processing fee (37 CFR 1.492(f)).
 - ☒ Oath or Declaration of inventors(s).
 - ☐ not in compliance with 37 CFR 1.497(a) and (b) for the reasons indicated on the attached PCT/DO/EO/917.
 - ☒ Surcharge (37 CFR 1.492(e)).
 - ☐ Sequence Listing.
 - ☐ not in compliance with 37 CFR 1.821-1.825 for the reasons indicated on the attached PCT/DO/EO/920.
 - ☐ Additional claim fees.

Applicant is required to complete the response within a time limit of ONE MONTH from the date of this Notification or within the time remaining in the response set forth in the Notification of Missing Requirements (Form DO/EO/905), whichever is the longer. No extension of this time limit may be granted under 37 C.F.R. § 1.136, but the period for response set in the Notification of Missing Requirements (Form DO/EO/905) may be extended under 37 C.F.R. § 1.136(a).

Applicant is reminded that any communication to the United States Patent and Trademark Office must be mailed to the address given in the heading and include the U.S. application no. shown above. (37 CFR 1.5)

Enclosed: ☐ PCT/DO/EO/917 ☒ Notice of Defective Translation
☐ PCT/DO/EO/920

Karen Williams *KW*

Telephone: 703-305-3688



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UNITED STATES PATENT AND TRADEMARK OFFICE

Commissioner for Patents, Box PCT
United States Patent and Trademark Office
Washington, D.C. 20231
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|---|-----------------------|---|
| U.S. APPLICATION NO. | FIRST NAMED APPLICANT | ATTY. DOCKET NO. |
| 09/807658 | NAKADA | M 6820 PCT/U |
| HENKEL CORPORATION 2500 RENAISSANCE BOULEVARD SUITE 200 GULPH MILLS, PA 19406 | | INTERNATIONAL APPLICATION NO. PCT/JP99/05652 |
| REC'D MAY 21 2001 | | U.S. FILING DATE |
| DUE 14 OCT 99 | | PRIORITY DATE |
| FILE M 6820 PCT/U | | 15 OCT 98 |
| DATE MAILED: 16 MAY 2001 | | |

NOTIFICATION OF MISSING REQUIREMENTS UNDER 35 U.S.C. 371 IN THE UNITED STATES DESIGNATED/ELECTED OFFICE (DO/EO/US)

- The following items have been submitted by the applicant or the IB to the United States Patent and Trademark Office as ☐ a Designated Office (37 CFR 1.494) ☒ an Elected Office (37 CFR 1.495):
 - ☒ U.S. Basic National Fee.
 - ☒ Copy of the international application.
 - ☒ Oath or Declaration of inventors(s).
 - ☒ Copy of Article 19 amendments.
 - ☒ Priority Document.
 - ☒ The International Preliminary Examination Report in English and its Annexes, if any.
 - ☐ Translation of Annexes to the International Preliminary Examination Report into English.
 - ☐ Indication of Small Entity Status.
 - ☐ Translation of the international application into English.
 - ☐ Translation of Article 19 amendments into English.
 - ☐ Other:
- ☐ Applicant has requested early processing under 35 U.S.C. 371(f) but has not filed the following indicated items and/or the indicated items in paragraph 3 below. The Basic National Fee and the copy of the international application must be filed prior to 20 or 30 months from the priority date to avoid abandonment.
 - ☐ U.S. Basic National Fee.
 - ☐ Copy of the international application.
- The following items **MUST** be furnished within the period set forth below in order to complete the requirements for acceptance under 35 U.S.C. 371:
 - ☒ a. Translation of the application into English. A processing fee will be required if submitted later than the appropriate 20 or 30 months from the priority date.
 - ☐ The current translation is defective for the reasons indicated on the attached Notice of Defective Translation.
 - ☒ b. Processing fee for providing the translation of the application and/or the Annexes later than the appropriate 20 or 30 months from the priority date (37 CFR 1.492(f)).
 - ☐ c. Oath or declaration of the inventors, in compliance with 37 CFR 1.497(a) and (b), properly identifying the application (preferably by the International application number and international filing date). A surcharge will be required if submitted later than the appropriate 20 or 30 months from the priority date.
 - ☒ The current oath or declaration does not comply with 37 CFR 1.497(a) and (b) for the reasons indicated on the attached PCT/DO/EO/917.
 - ☒ d. Surcharge for providing the oath or declaration later than the appropriate 20 or 30 months from the priority date (37 CFR 1.492(e)).
- Additional claim fees of \$ _____ as a ☐ large entity ☐ small entity, including any required multiple dependent claim fee, are required. Applicant must submit the additional claim fees or cancel the additional claims for which fees are due (37 CFR 1.492(g)). See attached PTO-875.
- ☐ Applicant has not submitted the required sequence listing pursuant to 37 CFR 1.821-1.825. See attached PCT/DO/EO/920.

ALL OF THE ITEMS SET FORTH IN 3(a)-3(d), 4 AND 5 ABOVE MUST BE SUBMITTED WITHIN TWO (2) MONTHS FROM THE DATE OF THIS NOTICE OR BY 22 OR 32 MONTHS (where 37 CFR 1.495 applies) FROM THE PRIORITY DATE FOR THE APPLICATION, WHICHEVER IS LATER. FAILURE TO PROPERLY RESPOND WILL RESULT IN ABANDONMENT.

The time period set above may be extended by filing a petition and fee for extension of time under the provisions of 37 CFR 1.136(a).

- If box 3a or 3c is checked, a translation of the Annexes **MUST** be submitted no later than the time period set above or the Annexes will be cancelled. A processing fee will be required if submitted later than 20 or 30 months from the priority date.
- ☐ The Article 19 amendments are cancelled since a translation was not provided by the appropriate 20 (37 CFR 1.494(d)) or 30 (37 CFR 1.495(d)) months from the priority date.

Applicant is reminded that any communication to the United States Patent and Trademark Office must be mailed to the address given in the heading and include the U.S. application no. shown above. (37 CFR 1.5)

A copy of this notice MUST be returned with this response.

- Enclosed: ☒ PCT/DO/EO/917 ☐ Notice of Defective Translation
☐ PTO-875 ☐ PCT/DO/EO/920

Karen Williams

FORM PCT/DO/EO/905 (March 2001)

Telephone: 703-305-3688